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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: Neal Brady, et al.

Appln. No.: 10/001,237

Filed: October 30, 2001

For: NETWORK AND METHOD FOR TRADING  
DERIVATIVES

Examiner: F. Poinvil

Art Unit: 3628

RECEIVED

NOV 15 2004

GROUP 3600

Attorney Docket No: 4672/363

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

TRANSMITTAL

Sir:

Attached is/are:

- ☒ Response and Amendment.  
☒ Return Receipt Postcard

Fee calculation:

- ☐ No additional fee is required.  
☐ Small Entity.  
☐ An extension fee in an amount of \$\_\_\_\_\_ for a \_\_\_\_\_-month extension of time under 37 C.F.R. § 1.136(a).  
☐ A petition or processing fee in an amount of \$\_\_\_\_\_ under 37 C.F.R. § 1.17(\_\_\_\_).  
☒ An additional filing fee has been calculated as shown below:

|   |                                  |       |                                 |               | Small Entity |           |    | Not a Small Entity |           |
|---|----------------------------------|-------|---------------------------------|---------------|--------------|-----------|----|--------------------|-----------|
|   | Claims Remaining After Amendment |       | Highest No. Previously Paid For | Present Extra | Rate         | Add'l Fee | or | Rate               | Add'l Fee |
| Total                                     | 40                               | Minus | 20                              | 20            | x \$9=       |           |    | x \$18=            | 360       |
| Indep.                                    | 3                                | Minus | 3                               | 0             | x 44=        |           |    | x \$88=            |           |
| First Presentation of Multiple Dep. Claim |                                  |       |                                 |               | +\$150=      |           |    | +\$300=            |           |
|   |                                  |       |                                 |               | Total        | \$        |    | Total              | \$360     |

Fee payment:

- ☒ A check in the amount of \$360 is enclosed.  
☐ Please charge Deposit Account No. 23-1925 in the amount of \$\_\_\_\_\_. A copy of this Transmittal is enclosed for this purpose.  
☐ Payment by credit card in the amount of \$\_\_\_\_\_ (Form PTO-2038 is attached).  
☒ The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

Respectfully submitted,

11-5-04  
Date

James L. Katz (Reg. No. 42,711)

"Express Mail" mailing label number EV 314 910 645 US

Date of Deposit: November 5, 2004

Our Case No. 4672/363

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Neal Brady et al.

Serial No. 10/001,237

Filing Date: October 30, 2001

For NETWORK AND METHOD FOR  
TRADING DERIVATIVES

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) Examiner: F. Poinvil  
)  
) Group Art Unit No. 3628  
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**RESPONSE AND AMENDMENT**

**GROUP 3600**

Mail Stop Non Fee Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

In response to the Office Action mailed September 17, 2004, please consider the following amendment and remarks.

~~11/09/2004 AWONDAFI 00000099 10001327~~

~~01 FC:1202~~

~~360.00 OP~~

~~Adjustment date: 11/10/2004 BABRAHA1~~

~~11/09/2004 AWONDAFI 00000099 10001327~~

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11/10/2004 BABRAHA1 00000159 10001237

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